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NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

EMBA PROJECT REPORT

Office of Naval Research Total Force Manpower Management

7 December 2011

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Office of Naval Research Total Force Manpower Management

EXECUTIVE SUMMARY

As the Office of Naval Research continues to face external pressures to increase efficiency and reduce the size of its total workforce, the Command needs a more formalized, coordinated, proactive manpower management effort to effectively leverage its resources. This project compares internal, external and academic perspectives on total force manpower management to facilitate the development of a recommended Total Force Manpower Management construct. The research team identified five key needs from the internal interviews and developed a set of recommendations that, once implemented, will enable ONR to more strategically manage its total workforce.

Key Need	Recommendation
ONR needs a centralized Total Force Manpower structure.	Amend the ONR organization chart to create an Office of Manpower Management (OMM) reporting to the Talent Manager.
ONR needs a current, reconciled total force database.	Expand the data collected during the Zero Based Review to establish and maintain a Position Management Database (PMD) that can be reconciled with existing systems of record and feed the Intelligent Workbook.
ONR needs a more strategic focus on Total Force Manpower.	Expand the functions of the existing Talent Management Board (TMB) to provide policy guidance for total force manpower issues and coordinate with leadership to issue a Total Force Manpower Strategic Plan.
ONR needs to maintain and improve the effective control elements of the current construct.	Expand the Personnel Management Plan to include multi-year targets for all workforce types (total force).
ONR needs to more formally leverage manpower expertise across the Command to ensure alignment, visibility, and communication.	Establish a Position Management Board (PMB) to formalize the interactions between ONR's total force subject matter experts and to provide a more defined review process for total force personnel decisions.

The recommendations, summarized in Appendix A, propose alterations to ONR structures, processes, and data management tools. Implemented independently, any of the proposed recommendations can move ONR incrementally toward the desired end-state. Implemented together, these recommendations provide an integrated approach to manpower management that will allow the Command to more strategically align its human capital resources with the accomplishment of its mission.

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TABLE OF CONTENTS

I.	PROJECT OVERVIEW	8
A.	INTRODUCTION.....	8
1.	Overview of Current State	8
2.	Key Terms and Definitions	9
3.	Research Questions.....	9
B.	BACKGROUND	10
C.	PROJECT OBJECTIVES	12
D.	PROJECT SCOPE.....	12
E.	METHODOLOGY.....	13
1.	General Design Parameters	13
2.	Internal Data Collection	14
3.	External Data Collection.....	16
4.	Data Relationships.....	17
II.	RESULTS.....	19
A.	CURRENT STATE.....	19
1.	As-Is Management Construct	19
2.	Areas of Relative Effectiveness	21
B.	MANPOWER MANAGEMENT TRENDS.....	22
1.	Other Navy/DoD.....	22
2.	OSD Level.....	23
4.	Zero Based Review	24
C.	NEEDS STATEMENT	25
1.	General Findings.....	25
2.	Key Needs	28
III.	RECOMMENDATIONS AND CONCLUSIONS	32
A.	RECOMMENDATIONS.....	32
1.	Introduction	32
2.	Key Need #1: ONR needs a centralized Total Force Manpower structure.....	33
3.	Key Need #2: ONR needs a current, reconciled total force database.....	36
4.	Key Need #3: ONR needs a more strategic focus on Total Force Manpower.....	38
5.	Key Need #4: ONR needs to maintain and improve the effective control elements of the current construct.....	38
6.	Key Need #5: ONR needs to more formally leverage manpower expertise across the Command to ensure alignment, visibility, and communication.....	39
B.	FUTURE RESEARCH RECOMMENDATIONS.....	41
1.	Human Resources Office	41

2.	System Requirements for Position Management Database.....	42
3.	Departmental Composition	42
C.	EVALUATION OF RECOMMENDATIONS AND IMPLEMENTATION.....	43
1.	Evaluation of Recommendations.....	43
2.	Implementation Notes.....	44
D.	CONCLUSIONS	46
APPENDIX A: SUMMARY OF RECOMMENDATIONS		49
APPENDIX B: PREVIOUS CIVILIAN MANPOWER MANAGEMENT EFFORTS ...		52
APPENDIX C: ADDITIONAL EFFICIENCY OPPORTUNITIES FROM ONR ZERO BASED REVIEW		54
APPENDIX D: ACADEMIC LITERATURE REVIEW.....		58
APPENDIX E: ONR MANPOWER MANAGEMENT INTERVIEW (INTERNAL)		61
APPENDIX F: ONR MANPOWER MANAGEMENT STUDY EXTERNAL DATA SURVEY		63
APPENDIX G: HR SERVICE DELIVERY MODEL		65
APPENDIX H: OFFICE OF MANPOWER MANAGEMENT DETAIL		67
APPENDIX I: POSITION MANAGEMENT DATABASE DETAIL		70
APPENDIX J: “POM FOR PEOPLE” PROCESS.....		73
APPENDIX K: POSITION MANAGEMENT BOARD DETAILS		78
LIST OF REFERENCES.....		80
INITIAL DISTRIBUTION LIST		82

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I. PROJECT OVERVIEW

A. INTRODUCTION

“The Office of Naval Research (ONR) is committed to attracting and retaining the best and the brightest talent to meet the advanced needs of the U.S. Navy and Marine Corps.” (Office of Naval Research, 2011) While the Command's website clearly articulates its emphasis on recruitment and retention, ONR's vision of *how* to manage the components of its workforce is less clear. With a total workforce of just under 1,200, ONR has historically accomplished total force manpower management through informal collaboration between functional areas.

1. Overview of Current State

In the current state, the Human Resources Office (HRO) is responsible for recruitment activities and managing both the civilian and military systems of record. The HRO also carries the incumbent Total Force Manpower analyst billet. The Financial Management Department is responsible for civilian personnel budgeting and monthly reconciliation functions. Additionally, a member of the Financial Management staff supports management of the Intelligent Workbook and responds to manpower-related data calls in an "other duties as assigned" capacity. Each Department Head has autonomy over the composition of his/her workforce. What the Command has historically lacked is coordination between these functions. In general, ONR's manpower management strategy has been more often reactive than proactive, with a changing cast of characters steering various initiatives as they arise.

Fiscal Year (FY) 2011 marked a significant shift in the Department of Defense (DoD) budget environment. Given this increased constraint on manpower resources, the ONR Talent Manager (a leadership position with a direct reporting requirement to the Chief of Naval Research) identified the need for a more effective means of managing manpower within the Command and engaged the assistance of two Naval Postgraduate School Executive Masters of

Business Administration (EMBA) students to conduct a study. This project analyzes total force manpower structure, methodologies and functions at both ONR and at other DoD Commands in order to provide recommendations for alternative methods of strategic total force manpower management.

2. Key Terms and Definitions

In order to develop a common understanding of the desired end-state, the term “strategic total force manpower management” must be defined. For the purposes of this study, the term “strategic” refers to a process by which leadership proactively defines a direction for the organization and a method by which it will achieve its goals. “Manpower management” refers to a system of control mechanisms that facilitate the most efficient and economical use of total force personnel resources. The term “total force” refers to all workforce member types within the ONR organization, including civilian, military, contractor, detailee, intern and Intergovernmental Personnel Act (IPA) employees. In summary, the proposed recommendations that result from this project are designed to enable ONR to proactively plan for and execute all forms of its human capital in order to most effectively accomplish the mission of the organization within applicable resource constraints.

3. Research Questions

The outputs of this study include a set of tangible recommendations that ONR leadership can implement to more effectively engage in strategic manpower management. The approach for arriving at those recommendations centers on a series of research questions. The identified questions form the basis for data collection in the study and inform the framework for interviews with ONR personnel. The data collected in support of these questions allow for a systematic and comprehensive understanding of the needs of the Command and enable the subsequent development of specific recommendations for ONR. The central research questions for the study are the following:

- 1) How is manpower currently being managed at ONR?
 - a. Who is responsible for managing total force manpower at ONR?

- b. Who is responsible for providing strategic direction for the most efficient use of ONR's total force manpower?
 - c. How effectively is manpower currently being managed across ONR?
- 2) What are current best practices in manpower management in a sample of Navy and/or DoD commands?
- 3) What are the current manpower management needs of ONR? In other words, what needs exist between the as-is and the desired end state?
- 4) What new organizational structure and/or process(es) would better address the manpower management needs of ONR?

B. BACKGROUND

The Office of Naval Research is the only Command in the Navy that is fully funded by Research, Development, Test and Evaluation, Navy (RDT&E,N) dollars. While a number of Department of Navy (DON) Commands receive RDT&E,N allocations for programmatic purposes, this appropriation also supports ONR's operational funding. Since RDT&E,N has not historically been a particularly scarce resource, ONR has had some measure of flexibility over the size and composition of its total workforce. Civilian and military billets have always been held to externally-mandated targets, but no such controls have been imposed upon the hiring of contractors, detailees, interns or IPAs. Until the FY 2011 efficiency initiatives were levied on the organization, ONR managers had broad discretion to hire auxiliary personnel as required to support their programs.

Over the preceding decade, ONR has invested considerable energy toward proactive management of its civilian billets. The Command instituted several control structures over the years that provided¹ context for this study. Notably, the following three efforts were reviewed: 1) the Personnel Action

¹ This data was collected anecdotally through informal conversations with ONR personnel, as well as through inference from meeting notes and letters of transmission. Historical information was considered for the development of context only.

Committee; 2) the Monthly Manpower Onboard Report; and 3) the Personnel Management Plan (PMP). Each of these control mechanisms provides insight into the evolution of manpower management within ONR. Appendix B provides details on each of these three efforts.

None of these previous efforts have been oriented toward long-term, proactive management or control of the total force. At the request of management, the PMP Monthly Manpower Report began including onboard numbers for all workforce member types in 2006. This reporting was merely a point-in-time status, however, based on data recorded in the Naval Research Information System (NAVRIS), ONR's internal management information system. Though management has cyclically discussed the need for a mechanism of control over the total force, leadership has never issued specific direction or Department-level controls for non-civilian workforce types. In 2010, the Director of Business Operations initiated the development of a Business Intelligence tool to capture and display the current on-board status of the total workforce through a website. Again, this tool is based on the internal NAVRIS data and does not direct control targets; it merely reports status. The report does, however, provide a snapshot of the ONR total workforce that is accessible across the Command.

ONR's concern over the need for more effective control of total force manpower management increased in 2011. The FY 2011 Secretary of Defense (SECDEF) efficiency initiative directed a reduction in contractor support for ONR's RDT&E,N programs. Since Science and Technology (S&T) funding was under a Congressionally mandated "floor" level at the time, the parameters of the cut allowed the S&T portion of the reduction to remain within ONR for programmatic use. Cuts against the non-S&T portion of ONR's budget reflected actual funding reductions. This "tooth-to-tail" effort prompted the Command to undertake a Zero Based Review (ZBR) of ONR's total force.

Though ONR has undertaken ZBRs in the past, the FY 2011 ZBR effort represented a much more comprehensive approach. The Command hired a group of external consultants to spearhead the effort and assigned a "core team"

of representatives from across the Command to provide direction and guidance. The ZBR prompted a significant clean up of workforce data in the NAVRIS system and resulted in the development of a validation tool to further explain and analyze the point-in-time data. The data collection and analysis phase of the ZBR concluded in the early fall of 2011, with recommendations briefed to ONR senior leadership in November. These recommendations are included in Appendix C and were considered as part of the base data for the study.

C. PROJECT OBJECTIVES

As the Command continues to face external pressures to increase efficiency and reduce the size of its total workforce, ONR needs a more formalized, coordinated, proactive manpower management effort to effectively leverage its resources. The objective of this project is to provide ONR leadership with a set of total force manpower management recommendations that will enable the Command to implement a more strategic approach to manpower management. These recommendations propose alterations to ONR structures, processes, and data management tools. Implemented independently, any of the proposed recommendations can move ONR incrementally toward the desired end state. Implemented together, these recommendations provide an integrated approach to manpower management that will allow the Command to more strategically align its human capital resources with the accomplishment of its mission.

D. PROJECT SCOPE

The scope of this study includes three forms of analysis that informed the development of a set of recommendations to enable ONR to more strategically manage its total force manpower. The forms of analysis include the following: 1) internal analysis of current-state and desired ONR manpower management functions; 2) external analysis of other Navy/DoD Command structures for manpower management; and 3) a review of relevant academic literature on

organizational structure and best practices in manpower management (detailed in Appendix D). Additionally, the study provides an analysis of the degree to which the recommendations address the needs identified by ONR personnel during the data collection phase.

This study does not address the financial implications of either the as-is state of manpower management or the proposed recommendations. While structural changes have been identified as part of the recommendations, the study is not a specific review of any one functional area in the organization. Rather, the project provides a holistic review of manpower management across the Command. The outputs of this effort are a set of well-defined recommendations, but the study does not provide specific implementation recommendations for the proposed construct. This report includes a section that annotates these and other research opportunities that could not be undertaken as part of this project.

E. METHODOLOGY

1. General Design Parameters

This project compares internal, external and academic perspectives on total force manpower management to facilitate the development of an interrelated set of recommendations. The study is scoped for execution by a two-person team of students from the Naval Postgraduate School's Executive Master of Business Administration (EMBA) program and designed to be completed within the three months allotted. The close working relationship between the research team and the primary client point of contact, the ONR Talent Manager, enhances the foundation for success of the project. By establishing regular, ongoing communication with the client throughout the process, the research team is able to adjust its focus and make mid-course corrections as needed to ensure an end product that satisfies both client expectations and the academic requirements of the EMBA program.

Structurally, the team (“LMB Associates”) is comprised of two researchers with different perspectives on the subject of the study. One student is a current ONR employee who serves as a “subject matter expert” on the organization, providing a background in financial management, civilian personnel, and ONR processes. Balancing the internal perspective, the other student brings an Echelon I background in military manpower and manpower programming requirements, functioning as the “honest broker” in the study. The balance between these two researchers serves to lend further credence to the validity of the results by balancing corporate insight with an unbiased external perspective. For the sake of simplicity, these two students will be individually referred to as “subject matter expert” and “honest broker”, and collectively as “the research team”, throughout this report as necessary.

2. Internal Data Collection

The responses collected from interviews with current ONR personnel are the lynchpin of the study, since it is this feedback that allows the research team to ascertain the needs of the organization. The internal personnel identified to participate in the study meet the following criteria:

- 1) Respondents must have a Command-level (rather than parochial) view of total force manpower management.
- 2) Respondents must have direct experience with some aspect of the current management of total force manpower.
- 3) Respondents must have worked within the existing total force manpower management construct for at least one year.
- 4) The universe of respondents must represent all levels of the organization: analyst level, management level, and leadership level.

Using these criteria, the research team identified eight individuals in the organization that were appropriate respondents for the study. Of the eight targeted personnel, two are analyst level, three are management level, and three are leadership level. All eight personnel agreed to participate in the study.

The internal interview questions provide insight into the current methods by which ONR is managing its total force, examples of the effectiveness/ineffectiveness of the current construct, a description of the more desirable state, and a description of the needs that characterize the gap between the as-is and to-be states. All of the respondents received a synopsis of the project and a copy of the questions in advance.

The “subject matter expert” conducted the 30-minute interviews, while the “honest broker” documented the responses. After each interview, both researchers discussed the responses to ensure a shared understanding of the content. A copy of the interview questionnaire is located in Appendix E.

The research team tabulated responses to the internal interviews by question to determine degrees of commonality and pervasiveness of response. For the purposes of this study, “commonality of response” refers to the frequency of occurrence of a given response within all responses collected. Table 1 displays the four measurements of commonality of response used in the study.

Table 1. Degrees of Commonality.

Degree of Commonality		
Low	13%	1 of 8 respondents
Medium	25%	2 of 8 respondents
Medium-High	38%	3 of 8 respondents
High	50%+	4+ of 8 respondents

“Pervasiveness of response,” by contrast, is the degree to which the responses are prevalent among the three organizational levels of the respondents (analyst, management and leadership). Where commonality indicates the breadth of understanding of a given reply across the respondents, pervasiveness indicates the depth of understanding of a given reply throughout the chain of command. Table 2 displays the three degrees of pervasiveness of response used in the study.

Table 2. Degrees of Pervasiveness.

Degree of Pervasiveness		
Low	33%	1 of 3 organizational levels
Medium	67%	2 of 3 organizational levels
High	100%	3 of 3 organizational levels

The intersection of these two measurements provides a means by which the team determined the overall degree of significance of a given finding. The research team considered any response with either a high degree of either commonality or pervasiveness to be a significant finding. The recommendations address all significant findings.

3. External Data Collection

While the internal data provides specific insight into the scope of the problem and the needs to be addressed, the external data informs the development of the recommendations that address those needs. Because this information is used more generally, the team did not subject the sources of external data to any special criteria. External data for this study took three forms: 1) information from other Commands; 2) information from personnel at the Office of the Secretary of Defense (OSD); and 3) information from the Navy's Office of Civilian Human Resources (OCHR).

The researchers used an email survey to collect external data on the ways in which total force manpower is managed in other Commands. The short questionnaire requests information on the composition of the total force management construct and details on which offices perform common manpower functions. A copy of the external data survey is located in Appendix F.

To identify potential respondents, the research team requested points of contact from other EMBA students. A total of five surveys were emailed, with three of the five completed, one negative response, and one no response. Additionally, one of the external respondents provided a detailed draft of operating procedures for total force manpower at that Command. The

researchers analyzed these external responses contextually rather than quantifying the responses. These external findings provide a general basis of understanding for the ways in which other organizations manage their total force.

In an effort to incorporate trends and best practices from the Departmental perspective, the research team made contact with a retired member of the OSD Human Resources community who provided introductions to several OSD personnel. The team met for 30 minutes with a member of the Senior Executive Service (SES) at OSD. This conversation was intentionally unstructured to allow the SES latitude of response.

Finally, the team requested information from an OCHR staff member to collect pertinent Navy Human Resources information. Because the HR function is a key element of both the as-is and to-be state, understanding current trends and initiatives in the HR community is a useful addition to the general knowledge base for the recommendations. The team received information on the Navy's HR Service Delivery Model, found at Appendix G.

4. Data Relationships

The relationship between the three data types is an important element in the design of this study. The academic literature provides an informed foundation for the study, providing insights into validated theories of management and the benefits of various organizational design constructs. The external data provides information on how other Commands have addressed a similar issue, providing general data that informs the development of the recommendations. Finally, the internal data provides critical insights into the specific nature of the problem and the needs that the recommendations must address.

The study correlates the needs identified in the internal data to the proposed recommendations, creating a clearly delineated relationship between the aspects of the problem and the recommended solutions. The academic literature is a reference point for evaluation of the recommendations by identifying potential strengths and weaknesses of various organizational structures. The external data informs the recommendations by providing insight

into larger Navy/DoD trends as well as a collection of previously-implemented strategies upon which to draw.

II. RESULTS

A. CURRENT STATE

1. As-Is Management Construct

ONR currently manages its total force manpower through an informal set of relationships between several organizational entities that each have responsibility for various manpower management functions. Representatives from these organizational units partner with one another as necessary to address data calls, forced reductions, and other emergent tasks. None of these entities are currently fully accountable for management of the total workforce.

Table 3 provides a break out of the as-is management construct for ONR by organizational entity, displaying the total force manpower functions each entity performs. The “subject matter expert” and the ONR Talent Manager collaborated to identify both the high-level functions and the entities that perform them. Question 1C of the internal interview (“For which manpower management functions is your office responsible at ONR?”) validated these functions as depicted in Table 3.

Table 3. Current Manpower Management Structure by Entity.

Financial Management	Human Resources	Total Force Manpower Position	Talent Management Board	Other	
				Task	Entity
Budget Exhibits	System of Record (DCPDS)	Military Billet Allocation	Lab Demo Steering/ adjudication	Total Force Manpower Tracking (website)	Director, Business Operations
PMP Development Coordination	Recruitment/ Advertising	Intelligent Workbook	Student Loan Repayment Approval	Zero Based Review	Executive Director
Monthly On Board reconciliation and reporting	EEO	System of Record (TFMMS)	Policy Issuance	PMP Approval/ Issuance	Executive Director
ES/FTE controls with FMB	Lab Demo Implementation/ Mgmt			PMP "Enforcement"	Talent Manager
Civilian personnel funding oversight	"Total Force" Manpower Management			Intelligent Workbook	FM Policy
				Respond to manpower data calls	FM Policy
				Recruitment	HRSC

While the display of roles and responsibilities in Table 3 adequately addresses the salient functions associated with manpower management, it does not address the larger issues of responsibility and strategic guidance. In an effort to also collect data on these aspects of the as-is construct, the team included two questions that assess the degree of shared understanding about these leadership-level aspects of manpower management. Table 4 depicts both these questions and the analyzed responses.

Table 4. Responses to Internal Interview Questions 1A & 1B

Question	Degree of Commonality	Sample/Generalized Responses	Degree of Pervasiveness
Who is responsible for managing total force manpower at ONR?	Low	Nobody; CNR & ED; Talent Manager; HR	Low
Who is responsible for providing strategic direction for the most efficient use of ONR's total force manpower?	Low	A "Command Leadership Cadre"; Nobody; Talent Manager; ED; CNR	Low

The low degree of commonality among respondents indicates a lack of consensus, even among those most intimately involved with the current construct, about who is responsible for managing the total force and for providing strategic direction into the process. The accompanying low degree of pervasiveness indicates that this lack of consensus occurs at all levels of the organization (analyst, management, and leadership).

2. Areas of Relative Effectiveness

To more fully understand the nature of the issue to be addressed, the research team requested input into the relative effectiveness of the current state. The internal interview includes a question regarding those aspects of the current construct that are functioning effectively. Respondents concurred on several examples of effective aspects of the function, as summarized in Table 5.

Table 5. Responses to Internal Interview Question 2A.

Question	Degree of Commonality	Sample/Generalized Responses	Degree of Pervasiveness
Please provide some examples of areas in which manpower is being managed effectively at ONR.	Medium-High	Civilian Resource Management and Reporting	High
	Medium-High	Military Manpower	High
	Medium-High	Personnel Management Plan	High

Each of these examples of effectiveness represents an element of total force manpower that is subjected to external reporting requirements. ONR is accountable for maintaining and reporting its civilian targets and military billets to higher headquarters organizations. The Personnel Management Plan supports ONR's ability to meet its civilian targets by providing Department-level civilian personnel controls.

While respondents did not provide many examples of aspects of the current process that are functioning effectively, the collected responses display a relatively strong degree of commonality. Further, these examples are understood at all levels of the organization, as evidenced by a high degree of pervasiveness. The significance of these findings, combined with continuing requirement for external accountability, indicates that these elements of the current process are appropriate to include in the end-state recommendations.

B. MANPOWER MANAGEMENT TRENDS

1. Other Navy/DoD

Inputs from the external survey data indicate that most responding organizations include a Position Management Board and a standalone Total Force Manpower Management Office in their total force management construct. A majority of survey respondents also described an organizational requirement for reconciling, updating, and monitoring various manpower-related databases.

Though the survey questions are not structured to provide an evaluation of pervasiveness of responses, these responses indicate, at minimum, a degree of commonality that dovetails with the findings from the ONR internal interviews.

In response to the research team's request for information via the external surveys, one respondent provided a detailed draft of operating procedures for strategic workforce planning of total force manpower at that Command. This organization developed a Workforce Planning Report that addresses current workforce execution data as well as a Future Workforce Roadmap that includes the following:

- Projected Total Force personnel requirements/Organizational Chart
- Proper Total Force mix to include personnel type (civilian, contractor, military), job series, grade, appointment type, etc.
- Record of added or removed positions
- List of requisite skills and/or competencies.

While somewhat similar to ONR's Personnel Management Plan, these two reports cover additional aspects of strategic workforce planning that have informed the outcomes of the study.

2. OSD Level

The thirty minute interview with a member of the OSD Senior Executive Service provided insight into the DoD-level perspective on total force manpower. The SES explained that while the concept of "total force" is in statute and well understood, total force management is much less universally recognized. Though organizations may interpret the concept of total force management differently, the SES suggests that organizations implementing include at least three aspects in a total force management function:

1. At minimum, the "moral equivalent" of a programming function: a strategic cell that will challenge the incoming demand signal for personnel resources to arrive at a well-informed decision for the organization,

2. A charter for the total force office that outlines the functions the office is to perform, and
3. A direct link to the organization's senior leadership.

Each of these points echoes the themes identified during the internal ONR interviews. The SES closed the interview with praise for the efforts of this study, pointing out that, too often, organizations focus on remediating the outcome rather than striving to achieve a better outcome.

4. Zero Based Review

In November 2011, a core team of ONR personnel briefed the Chief of Naval Research on the findings of the Organizational Assessment and Analysis for Cost/Efficiency Implementation, also referred to as the Zero Based Review (ZBR). The purpose of the ZBR was to “define how ONR will implement near-term and plan for long-term efficiency targets, while maintaining a total workforce structure best suited to achieve ONR’s mission.” (Office of Naval Research, 2011) While the courses of action recommended in the brief are centered specifically on achieving the required efficiency reductions, the “Additional Efficiency Opportunities” (located in Appendix C) present areas for further study that are germane to this project.

Specifically, the ZBR recommends the establishment of a Personnel Management Board as follows: “Establish a Personnel Management Board to monitor, track, and control ONR’s total workforce. All new hires (including all workforce member types) would need to be approved by the Board. Implementing this recommendation may also ease ONR’s response to future workforce efficiencies.” (Office of Naval Research, 2011) This study includes a recommendation to institutionalize a process for the review of hiring decisions.

Further, recommendation #14 of the ZBR calls for an examination of the composition of the civilian workforce in an effort to more strategically structure its governmental employees. The ZBR suggests that ONR “(c)onsider changing the nature of employment positions for ONR’s civilian workforce. Civilians are routinely hired for long-term assignments, but with approximately 40% of ONR programs focusing on rapid transition, addressing near-to-mid-term technology

solutions, consider hiring civilians for set terms.” (Office of Naval Research, 2011) This element of the ZBR findings is incorporated into the system recommendation of this study. The recommended Position Management Database captures details about functional alignment and employment type in a multi-year format, enabling ONR management to better align terms of employment with the nature of the position.

C. NEEDS STATEMENT

1. General Findings

The final phase of the internal interviews focused respondents on opportunities to improve the effectiveness of the current construct. The analysis of the as-is state identifies those effective elements that should carry forward into the recommendations, and the external data provides insight into environmental factors that impact the development recommendations. The data collected in the final phase of the internal interviews provides the direct linkage between the needs of the organization and the recommendations. This component of the internal data presents the most critical set of findings in the study.

When asked about opportunities to improve ONR’s mechanisms for total force manpower management, the internal interviewees were readily able to identify aspects of the current process that could be improved. Interviewees provided a robust data set of processes, structures, systems and levels of engagement. Table 6 displays findings with at least a medium-high (3 of 8 respondents) degree of commonality.

Table 6. Responses to Internal Interview Question 2B.

Question	Degree of Commonality	Sample/Generalized Responses	Degree of Pervasiveness
Please provide some examples of manpower management areas that need improvement at ONR.	High	Data inaccuracies & lack of data synchronization	High
	High	No central point for Total Force Mgmt	High
	High	Fragmented Total Force Mgmt structure/process	High
	High	Lack of visibility/communication throughout command	Medium
	High	No Total Force strategic vision	High
	Medium-High	PMP needs to include additional controls (CTR, IPA, Detailees)	High
	Medium-High	Leadership needs to be engaged for implementation	Medium
	Medium-High	Need long-term vision	Medium
	Medium-High	Ability & time to conduct reconciliations & analysis	Medium

The internal interview questions then shifted respondents from the current state to a more desired end-state. Again, respondents quickly identified a variety of details about the elements of a total force manpower management organization that would better suit the needs of ONR. Table 7 details those elements of the more idealized construct that have at least a medium-high degree of commonality among respondents.

Table 7. Responses to Internal Interview Question 3A.

Question	Degree of Commonality	Sample/Generalized Responses	Degree of Pervasiveness
If you could build a manpower management function for ONR from the ground up, what would it look like?	High	Standalone TF Manpower Mgmt Office	High
	Medium-High	Link back to Comptroller for Resources Expertise	High

The response regarding a standalone total force manpower management office has a 75% degree of commonality. The finding is highly pervasive as well, with 100% pervasiveness at the analyst level and 66% pervasiveness at both the management and leadership levels. This single piece of data is the most homogenous response in the study and factors heavily into the recommendations.

The researchers concluded the interview by asking respondents to summarize the characteristics of the gap between the “as-is” state and the more idealized “to-be” state that the respondent described. The most common responses to this question form the basis for the needs that the recommendations address. Table 8 provides a summary of the responses with a medium-high or higher degree of commonality.

Table 8. Responses to Internal Interview Question 3B.

Question	Degree of Commonality	Sample/Generalized Responses	Degree of Pervasiveness
Do you perceive a gap between the current state of ONR manpower management and the “ideal” state you just described? If so, how would you describe that gap? (e.g. What needs exist between the as-is and the more desirable state?)	High	Need organization to be proactive not reactive	High
	High	Need to develop a strategic vision	High
	Medium-High	Need to engage leadership	Medium
	Medium-High	Need to address long-term health of ONR	Medium
	Medium-High	Need a Total Force PMP	High

2. Key Needs

The preceding findings from the internal interviews, in addition to the contextual information gleaned from the external data, represent a spectrum of responses upon which recommendations might be based. In order to focus the recommendations to the most significant pieces of data, the research team identified those responses with a high degree of commonality, a high degree of pervasiveness, or, ideally, both. Significant responses are identified from all internal interview questions for the purposes of developing a set of key needs. Table 9 displays those responses that are significant and the key needs to which they correspond (described after the table).

Table 9. Significant Internal Interview Responses.

Question Summary	Need #	Degree of Commonality	Sample/Generalized Responses	Degree of Pervasiveness
Characteristics of more ideal state	1	High	Standalone TF Manpower Mgmt Office	High
Example of opportunity for improvement	1	High	No central point for Total Force Mgmt	High
Example of opportunity for improvement	1	High	Fragmented Total Force Mgmt structure/process	High
Example of opportunity for improvement	2	High	Data inaccuracies & lack of data synchronization	High
Example of opportunity for improvement	3	High	No strategic vision	High
Examples of needs between the as-is and to-be states	3	High	Need to develop a strategic vision	High
Characterize the needs	3	High	Need organization to be proactive not reactive	High
Example of effective management in current state	4	Medium-High	Civilian Resource Management and Reporting	High
Example of effective management in current state	4	Medium-High	Military Manpower	High
Example of effective management in current state	4	Medium-High	Personnel Management Plan	High
Example of opportunity for improvement	4	Medium-High	PMP needs to include additional controls (CTR, IPA, Detailees)	High
Examples of needs between the as-is and to-be states	4	Medium-High	Need a Total Force PMP	High
Characteristics of more ideal state	5	Medium-High	Link back to Comptroller for Resources Expertise	High
Example of opportunity for improvement	5	High	Lack of visibility/communication throughout command	Medium

From this data, organized by degree of commonality, the organization's key needs are easily identifiable:

Key Need #1: ONR needs a centralized Total Force Manpower structure. The most significant finding in the study directly points out the need for a standalone total force manpower management structure. This finding is supported by two other high-commonality, high-pervasiveness findings that identify the need for a less fragmented, more centralized total force function.

Key Need #2: ONR needs a current, reconciled total force database. One of the key outcomes of the ZBR was the insight into the structure of the organization from a functional, rather than an on-board, view. This insight allowed leadership to make decisions more strategically. The internal interviews clarified the desire to institutionalize this capability, and multiple respondents also identified the need for greater parity among existing databases and the ability to access required data more easily.

Key Need #3: ONR needs a more strategic focus on Total Force Manpower. The current fragmented total force construct does not provide a mechanism through which ONR leadership can efficiently communicate total force strategic priorities. Internal interview respondents identified the need for leadership to more proactively engage in the process.

Key Need #4: ONR needs to maintain and improve the effective control elements of the current construct. The internal interview respondents identified a few aspects of the current total force construct that are functioning effectively. While these aspects can be expanded or improved upon, the data indicates that they should continue to be part of the to-be construct.

Key Need #5: ONR needs to more formally leverage manpower expertise across the Command to ensure alignment, visibility, and communication. Many of the organizational entities involved in the current process must, by the nature of their function, remain involved in total force manpower management. ONR needs a more formalized way for these entities to share information and make recommendations to leadership.

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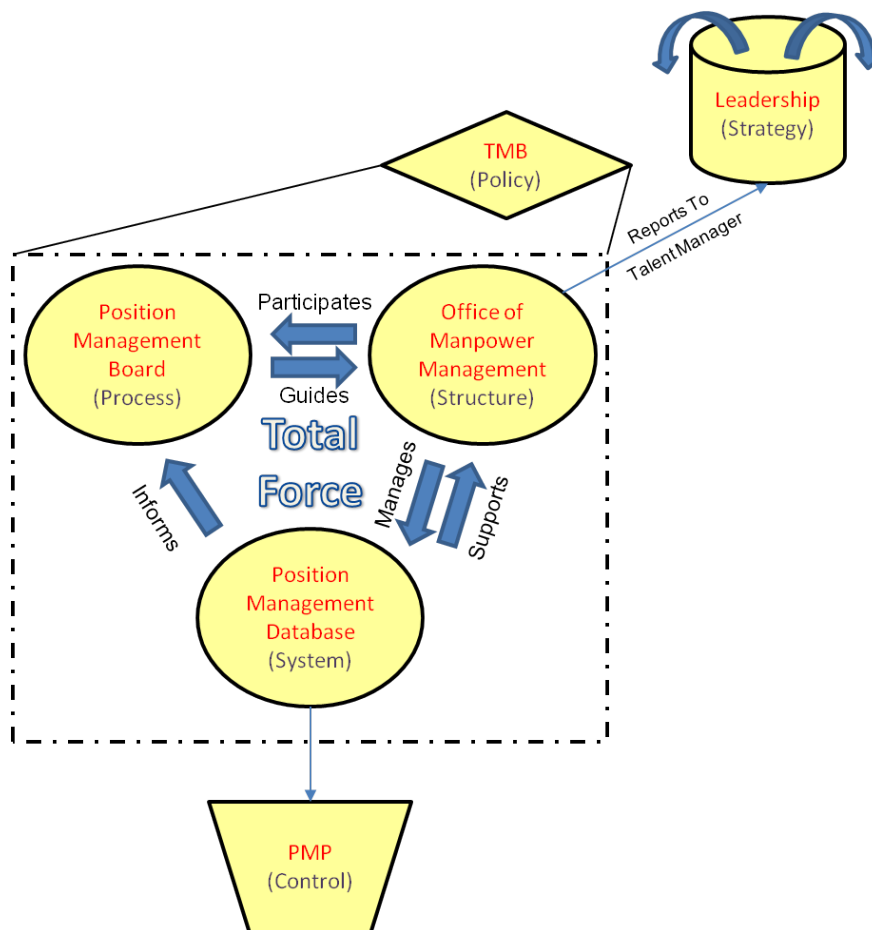
III. RECOMMENDATIONS AND CONCLUSIONS

A. RECOMMENDATIONS

1. Introduction

The recommended total force management construct is based on an informed foundation derived from the key inputs of the study: academic literature, external inputs, internal interviews with ONR staff, and recommendations from the recently-completed Zero Based Review. The key needs, which were identified as a result of the internal interviews, directly support each element of the recommended construct. Figure 1 provides an overview of the recommended total force construct.

Figure 1. ONR Total Force Manpower Construct Overview.



The foundation of the recommended to-be state is predicated on three, central interrelated elements: process, structure, and system (shown inside the box in the graphic). This central construct exists within and is supported by policy, strategy, and a means of control. These elements, shown outside the box, currently exist in the organization and can be effectively connected with the recommended construct. The following sections describe each element in more detail and amplify the linkage between the identified need and its associated recommendation.

2. Key Need #1: ONR needs a centralized Total Force Manpower structure.

The key finding in this study is the concurrence among those personnel most intimately involved with ONR's current total force efforts that ONR needs a centralized, independent "belly button" for total force manpower. Implicit in this request is a need for a single point of accountability for the total force function within the organization. To address this need, the research team recommends the following:

Recommendation #1: Amend the ONR organization chart to create an Office of Manpower Management (OMM) reporting to the Talent Manager.

In the current state, Total Force Manpower is fragmented, with aspects of the required work being performed by various entities within the organization. Not all of these functions are required to be performed by the incumbent entity and could be shifted to a dedicated staff. Table 10 illustrates the functions that can be shifted from the incumbent entity to the Office of Manpower Management.

Table 10. “As-Is” Functions to be Realigned to Office of Manpower Management.

			Other	
Financial Management	Human Resources	Total Force Manpower Position	Task	Entity
PMP Development Coordination	"Total Force" Manpower Management	Intelligent Workbook	Total Force Manpower Tracking (website)	Director, Business Operations
Monthly On Board reconciliation and reporting			Zero Based Review	Executive Director
			Intelligent Workbook	FM Policy
			Respond to manpower data calls	FM Policy

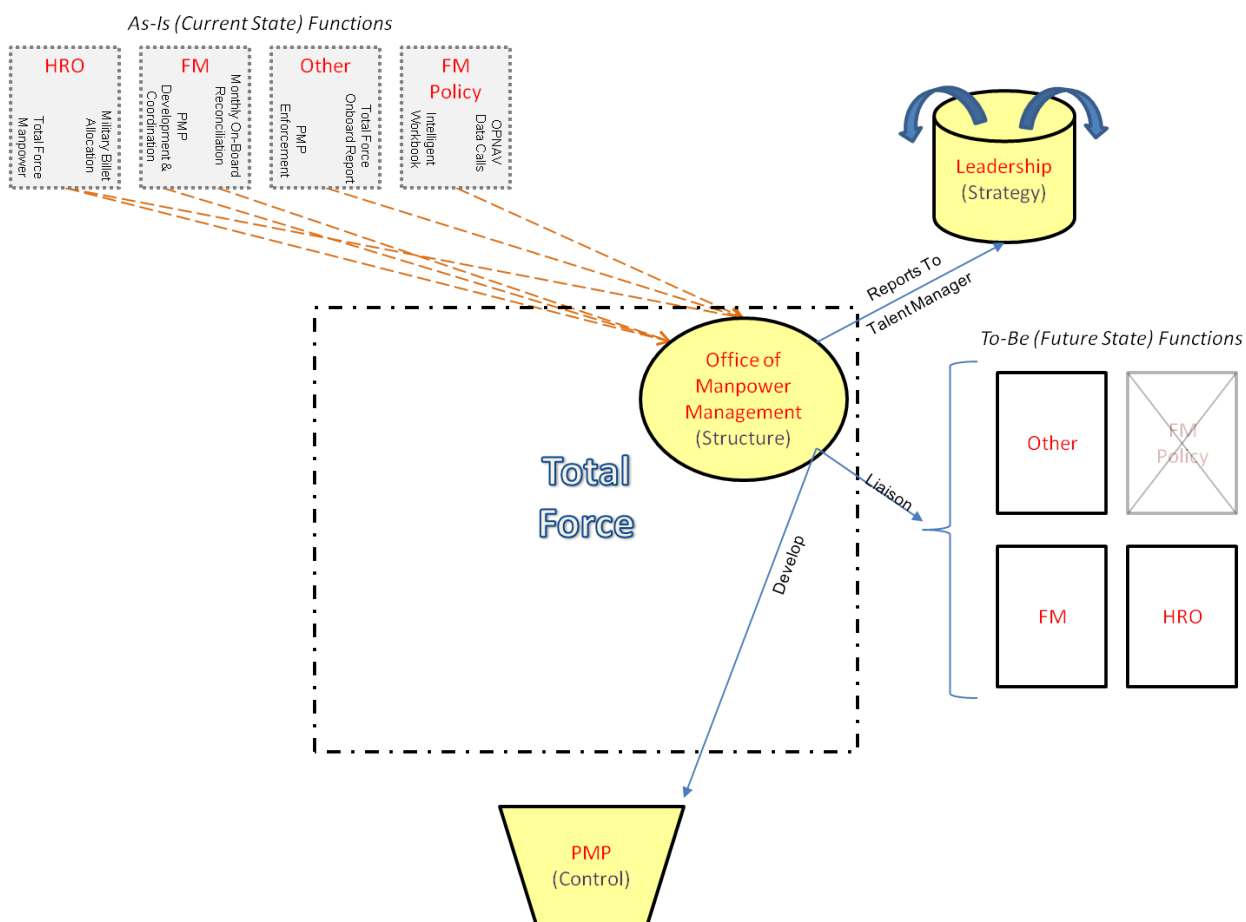
As a leadership-level office, the Office of Manpower Management is managed by a senior supervisory Pay Band V (GS-15 equivalent) with a support staff of one to two Pay Band IV/V (GS 13/14 equivalent) employees. The OMM Director reports directly to the Talent Manager and is accountable for developing, implementing, and executing a successful total force manpower plan for ONR. Key functions of the office include, but are not limited to, the following:

- Liaison between senior leadership and organizational manpower subject matter experts (finance, human resources, talent management board, etc.)
- Personnel Management Plan development and coordination
- Development of a Command-wide strategic manpower plan

- Representation of ONR at Deputy Chief of Naval Operations for Manpower, Personnel, Training and Education (OPNAV N1)-level manpower meetings
- Database maintenance and reconciliation

Figure 2 depicts these key functions shifting from the as-is state and illustrates several of the additional functions of the Office of Manpower Management. Additional information on the composition and functions of the Office of Manpower management is found in Appendix H.

Figure 2. Recommendation 1 (Structure) Office of Manpower Management.



3. Key Need #2: ONR needs a current, reconciled total force database.

Internal interview respondents identified the need for better insight into ONR's functional composition in a variety of ways. In addition to the quantifiable finding that data inaccuracies and lack of synchronization is an area for improvement in the organization, participants also noted that the data collected during the Zero Based Review provided insight into the organization that was not previously available. Implicit in this need is a desire for visibility into ONR's total force composition and function. To address this need, the research team recommends the following:

Recommendation #2: Expand the data collected during the Zero Based Review to establish and maintain a Position Management Database (PMD) that can be reconciled with existing systems of record and feed the Intelligent Workbook.

The Defense Civilian Personnel Data System (DCPDS) and the Total Force Manpower Management System (TFMMS) are the systems of record for ONR civilian and military personnel, respectively. The Naval Research Information System (NAVRIS) is ONR's internal management information system that is scheduled for replacement by the Navy's Enterprise Resource Planning (NERP) system in FY 2013. ONR provides inputs into the Intelligent Workbook, a requirements database owned by OPNAV N1. None of these databases provide ONR with the ability to capture data about the total force from a functional perspective or to do future years planning.

The PMD supports the total force construct by providing insight into a functional description of all positions within the organization. By enabling a better understanding of the composition of Departments, the PMD provides leadership with the ability to more strategically engage in discussion on the most effective utilization of all workforce types. The PMD also provides visibility into fit/fill of existing and planned billets while maintaining balance with externally-mandated targets for civilian and military billets.

4. Key Need #3: ONR needs a more strategic focus on Total Force Manpower.

Leadership engagement is a key element of any successful total force plan. The internal interviewees identified the need for strategic direction, echoing the OSD SES recommendation that a total force construct have a direct line to leadership in the organization. ONR's leadership demonstrated both engagement and interest during the ZBR process, but needs an ongoing mechanism for providing input into the total force construct. To address this need, the research team recommends the following:

Recommendation #3: Expand the functions of the existing Talent Management Board to provide policy guidance for total force manpower issues and utilize the recommended Office of Manpower Management to coordinate the issuance of a Total Force Manpower Strategic Plan.

The ONR Talent Management Board (TMB) operates in an advisory capacity to the Chief of Naval Research (CNR). The group provides leadership accountability to processes that support ONR's evolving Human Capital design. Under the recommended construct, the TMB continues to provide overarching personnel policy recommendations and guidance and begins to consider total force policy issues as well.

The implementation of the Office of Manpower Management facilitates the proactive elevation of total force issues for leadership decision and direction. The combination of leadership engagement and a dedicated staff enables the development of a Total Force Strategic Plan that communicates the CNR's long-term vision for the ONR workforce. This multi-year strategy serves to coalesce the total force efforts of the individual Departments, transitioning them from "12 Balkan states" (as one respondent characterized them) into a unified entity.

5. Key Need #4: ONR needs to maintain and improve the effective control elements of the current construct.

As noted in the internal interviews, several aspects of the current construct are working effectively. Both the civilian personnel and military requirements

elements of the as-is state were cited by respondents as examples of effectiveness. Further, the Personnel Management Plan is functioning effectively as a control document for civilians. Respondents specifically cited the need to expand the PMP to provide a control mechanism for other workforce member types. To address this need, the research team recommends the following:

Recommendation #4: Expand the Personnel Management Plan to include multi-year targets for all workforce types (total force).

The existing PMP is a one-year control document that provides Department-level controls for civilian personnel in balance with FMB-issued targets for the Command. Under the recommended total force construct, this document is expanded to a multi-year plan that includes all workforce types. Expansion of this document allows it to function not only as a means of control, but also as an effective planning document to facilitate the short-, mid-, and long-term strategic direction of the Command.

The OMM staff develops the PMP using inputs from the PMD. The ONR Executive Director remains the signature authority for the document after validation by the Position Management Board (see Recommendation #5). Appendix J details a further expansion of the PMP, aligning future-year PMP decisions with ONR's Program Objective Memorandum (POM) investment decisions.

6. Key Need #5: ONR needs to more formally leverage manpower expertise across the Command to ensure alignment, visibility, and communication.

Most of the entities involved in the as-is configuration have subject matter expertise on aspects of total force, so their participation in the process is both appropriate and necessary. The interaction of these subject matter experts, however, is irregular and project-oriented rather than ongoing. The internal interview respondents identified the need for consistent engagement of subject matter experts and better communication between them. To address this need, the research team recommends the following:

Recommendation #5: Establish a Position Management Board (PMB) to formalize the interactions between ONR's total force subject matter experts and to provide a more defined review process for total force personnel decisions.

A preponderance of the respondents to the external data surveys indicates the use of Position Management Boards as part of their total force management construct. The ZBR recommendations also directly support the creation of a Position Management Board (titled "Personnel Management Board") to "monitor, track, and control ONR's total workforce. All new hires (including all workforce member types) would need to be approved by the Board." (Office of Naval Research, 2011) The PMB will meet monthly and as required for emergent requirements, thus ensuring consistent communication.

Recommended members of the Position Management Board include the following:

- Executive Director (chair)
- Talent Manager (vice-chair)
- Assistant Chief of Naval Research
- Director, Office of Manpower Management
- Director, Human Resources Office
- Director, Financial Management
- Head, Corporate Operations Financial Management Branch
- Civilian Personnel Financial Management Analyst
- Military Manpower Analyst
- Human Resources Staffing Specialist (Lead)
- Office of Manpower Management Database Manager
- Office of Manpower Management Staff Analyst

The composition of the PMB facilitates communication and shared understanding of organizational priorities for total force management across all levels of the organization (analyst, management and leadership). Further, participation by analyst-level staff members provides growth opportunities for more junior personnel and ensures more effective execution of PMB decisions.

The mission of the Position Management Board, as noted by the ZBR, is to provide a deliberative body that monitors, tracks and controls ONR's total

workforce. The PMB reviews and recommends approval of the annual issuance of the total-force, multi-year PMP. The PMB also serves as the enforcement organization for PMP execution by approving or disapproving requests for hiring actions. The PMB relies on inputs from the Talent Management Board for policy decisions, inputs from leadership on strategic direction, inputs from the Office of Manpower Management for on-board status against PMP controls, and inputs from the Position Management Database for details on ONR's composition. Appendix K provides additional detail on the functions of the Position Management Board.

B. FUTURE RESEARCH RECOMMENDATIONS

1. Human Resources Office

The Human Resources Office is a critical element of the total force manpower puzzle. The recommendations addressed in this study formalize and delineate the interface of the HRO within the recommended total force manpower construct, but do not provide any analysis of the HR function. In the course of the work on this project, however, the research team encountered information about trends in the HR community that indicate the opportunity for future study of the most effective utilization of ONR's HRO.

The Human Resources Service Delivery Model initiated in May of 2011 provides Command ownership of HROs. Since ONR has always been serviced by a dedicated HRO, the shift happening elsewhere in the DON did not directly impact the Command. However, the implementation of this service deliver model reiterates, from the Navy OCHR perspective, that Commands have the ability to staff and use their HRO offices as they see fit.

For example, the findings of an OCHR Lean Six Sigma (LSS) project indicated that hiring managers experienced a higher degree of satisfaction with the recruitment process when they made direct contact with the Human Resources Servicing Center (HRSC). Commands have the latitude to encourage this direct interaction or to continue to route all HRSC interaction through the HRO. ONR's adoption of this practice could streamline the processes in the

HRO, creating an opening for HRO staff to take on more strategic, rather than transactional, work.

The research team remains convinced that the Human Resources Office is critically important to the continued success of the organization. ONR has an opportunity to better define, in the context of the shifts of the HR community, what role the HRO should serve in the organization. Further, the Command needs to assess how well the HRO is staffed to successfully fulfill that role. By more clearly defining the HRO role and ensuring that the HRO staff is properly equipped to fulfill that role, ONR will better position itself, and the HRO staff, for even more success in the future.

2. System Requirements for Position Management Database

The research team has outlined some of the system requirements for the Position Management Database in Appendix I. The time limitations of this study do not permit the research team to develop a full requirements document for the database, however. Because of the criticality of this database to the total force construct, the team recommends that ONR conduct a full-scale requirements determination to ensure that the utility of the database is maximized for the Command.

3. Departmental Composition

The subject of inconsistencies in Departmental composition surfaced during the internal interviews. Currently, the workforce type mix between ONR Departments is not consistent or regulated. In particular, the number of civilian billets varies rather dramatically between different Departments. While some degree of variation is to be expected based on program size and complexity, ONR may be able to gain some efficiencies from standardizing some elements of Departmental composition.

Implementation of the Position Management Database will provide ONR leadership with an updated, functional view of the organization. The research team recommends that ONR use this data to conduct a further review of the structure of the Departments across the Command. The team believes that

investing in this research may assist ONR in achieving an even more efficient operation.

C. EVALUATION OF RECOMMENDATIONS AND IMPLEMENTATION

1. Evaluation of Recommendations

The evaluation of the recommendations in this study is based on two criteria. First, to what degree are the recommendations derived from the answers to the research questions posed by the study? Second, do the recommendations address the key needs of the organization? The following provides a brief evaluation of the recommendations against these criteria.

The research questions posed during the course of this study are the foundation for the collection of data, which in turn, is the foundation for the development of recommendations. Ensuring that all research questions have been answered by the study is critical to validating the efficacy of the recommendations. The following outline provides reference points for the answers to each of the research questions:

- 1) How is manpower currently being managed at ONR? – answered in section II.A.1.
 - a. Who is responsible for managing total force manpower at ONR? – answered in II.A.1. Table 4.
 - b. Who is responsible for providing strategic direction for the most efficient use of ONR's total force manpower? – answered in II.A.1. Table 4.
 - c. How effectively is manpower currently being managed across ONR? – answered in II.A.2. Table 5 and II.C.1. Table 6.
- 2) What are current best practices in manpower management in a sample of Navy and/or DoD commands? – answered in II.B.1.
- 3) What are the current manpower management needs of ONR? In other words, what needs exist between the as-is and the desired end state? – answered in II.C.1. Table 8 and II.C.2.
- 4) What new organizational structure and/or process(es) would better address the manpower management needs of ONR? – answered in III.

The second evaluation criterion is the degree to which the recommendations meet the needs identified by the organization. The recommendations are directly linked to the five key needs identified during the internal interviews. Each aspect of the proposed total force construct is designed to facilitate alleviating the need with which it is affiliated.

While the design of the construct is intended to satisfy the key needs of the organization, the degree to which the needs are actually alleviated will be determined by the way in which the construct is implemented. For example, the construct recommends the establishment of a total force Office of Manpower Management, with suggested skills and qualifications for the personnel who staff that office. ONR is responsible for preparing position descriptions and recruiting candidates with the appropriate skill sets to staff the office in a way that maximizes the design.

2. Implementation Notes

The scope of this study does not include details on implementation of the recommendations. In an effort to assist the organization with successfully taking the next step toward realizing the full potential of these recommendations, however, the research team has assembled the following notes for ONR's consideration.

1. Quick Wins.

The recommended total force construct is designed to be implemented in its entirety. Each of the elements connects to and supports the other aspects to form a cohesive approach to effective management. ONR can, however, move incrementally toward the end state through a phased implementation of the key elements of the central construct.

Implementation of the Position Management Board is a natural first step for implementation. Designation of this Board does not require a change to the organization chart and could be implemented quickly. The establishment of this Board provides a formalized focus on total

force issues and designates a cadre of personnel to continue pressing forward with the implementation of the other elements.

Though implementation of the Office of Manpower Management will require amendments to existing documentation, it is perhaps the most critical component of the construct. Designating at least one billet for this office and moving out on a change to the ONR organization chart should be ONR's second priority. The research team recommends that the development of a position description and initiation of a recruitment action occur as quickly as practicable.

Once the OMM is staffed with at least one person, the organization should proceed with further refining requirements for the Position Management Database. This element of the construct requires dedicated staff time to identify system requirements and appropriate coding taxonomies. System requirements should support streamlined reconciliation with systems of record and NERP.

2. Amend Pertinent Documentation

The proposed recommendations will require adjustments to existing ONR documentation. In particular, the Standard Organization and Regulations Manual (SORM) will need to be updated to include the Office of Manpower Management. Additionally, ONR should issue a total force manpower management instruction that formalizes this construct.

3. Current Staffing

The foregoing recommendations are presented without regard to the current staffing of the organization. These recommendations assume that ONR will identify appropriate billets to support the structural aspect of the construct and will apply resources as necessary to implement. Additional staffing considerations are the responsibility of the organization.

4. Communication Plan

Effective organizational change begins with the communication of a vision of the desired end-state. The transition to a total force approach constitutes a shift in thinking for ONR managers that should be carefully and intentionally communicated to the workforce. The research team strongly suggests that ONR leadership work with the Corporate Strategic Communication office to develop a communication plan for this transition.

D. CONCLUSIONS

“Gentlemen, we have run out of money. Now we have to think.” (Farrell, 2011) Winston Churchill’s prophetic statement has become increasingly relevant as the Office of Naval Research addresses the effects of a pressurized resource environment. The organization no longer has the luxury of managing its total force in the way it has historically. This study identifies five key findings and associated recommendations that, once implemented, will enable ONR to more strategically manage its total workforce.

As this report demonstrates, the five key findings clearly address the total force manpower management needs of the organization. These needs have been expressed by the interview respondents as tactical requirements. Beneath these practical considerations, however, the ONR interviewees actually identified the necessary strategic elements of *any* total force management construct: accountability, visibility, engagement, control and communication.

Key Need #1 expresses the need for a centralized total force manpower office. This need actually expresses the respondents’ desire for a clear point of accountability for the function. The as-is state does not provide accountability.

Key Need #2 expresses the need for better data synchronization and reconciliation. This need actually expresses the respondents’ desire for better visibility into the composition of the organization. Without this element in the as-is state, leadership is making decisions in the dark.

Key Need #3 expresses the need for a more strategic focus on total force manpower. While the desire for the clear communication of strategy is evident, the implicit corollary is the need for policies that support this strategy and

evidence leadership's engagement in the process. Moving the organization to a more strategic approach to total force manpower will enable the Command to be proactive rather than reactive.

Key Need #4 recognizes that some aspects of the current state are functioning effectively and can be expanded. In particular, the degree of control provided by the Personnel Management Plan is desirable for the total force. The expansion of this document will enable the organization to better control all workforce types.

Key Need #5 expresses the need for the subject matter experts in the organization to better coordinate efforts and share information. Implementing the Position Management Board formalizes these relationships and creates a framework for consistent communication. By ensuring that all relevant offices are informed about total force direction and decisions, the organization can move forward in a more coordinated fashion.

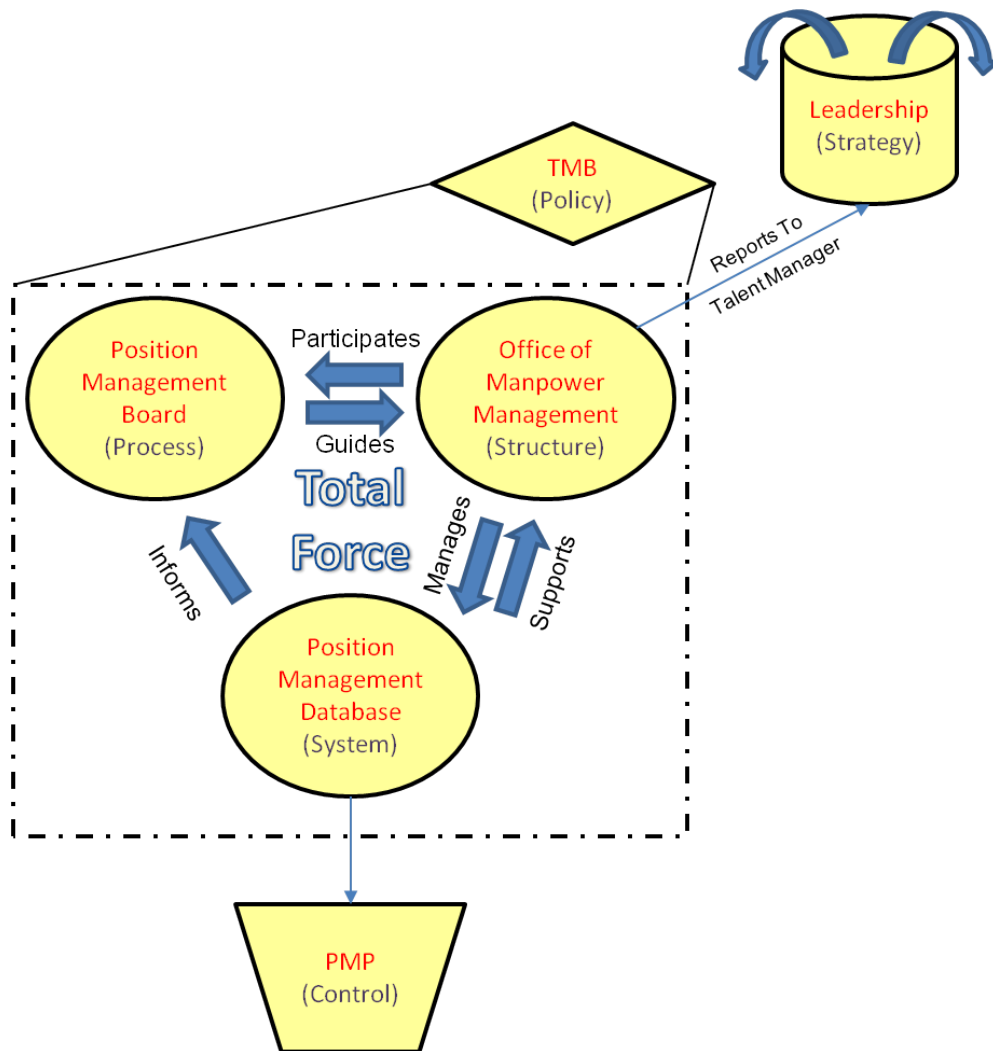
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APPENDIX A: SUMMARY OF RECOMMENDATIONS

The recommended total force management construct is based on an informed foundation derived from the key inputs of the study: academic literature, external inputs, internal interviews with ONR staff, and recommendations from the recently-completed Zero Based Review. The key needs, which were identified as a result of the internal interviews, directly support each element of the recommended construct, as shown in the table below:

#	Key Need	Recommendation	Reference
1	ONR needs a centralized Total Force Manpower structure.	Amend the ONR organization chart to create an Office of Manpower Management (OMM) reporting to the Talent Manager.	Appendix H
2	ONR needs a current, reconciled total force database.	Expand the data collected during the Zero Based Review to establish and maintain a Position Management Database (PMD) that can be reconciled with existing systems of record and feed the Intelligent Workbook.	Appendix I
3	ONR needs a more strategic focus on Total Force Manpower.	Expand the functions of the existing Talent Management Board to provide policy guidance for total force manpower issues and utilize the recommended Office of Manpower Management to coordinate the issuance of a Total Force Manpower Strategic Plan.	PP. 36-38
4	ONR needs to maintain and improve the effective control elements of the current construct.	Expand the Personnel Management Plan to include multi-year targets for all workforce types (total force).	Appendix J
5	ONR needs to more formally leverage manpower expertise across the Command to ensure alignment, visibility, and communication.	Establish a Position Management Board (PMB) to formalize the interactions between ONR's total force subject matter experts and to provide a more defined review process for total force personnel decisions.	Appendix K

The figure below provides an overview of the recommended total force construct and identifies some of the interrelationships between the various elements.



The foundation of the recommended to-be state is predicated on three, central interrelated elements: process, structure, and system (shown inside the box in the graphic). This central construct exists within and is supported by policy, strategy, and a means of control. These elements, shown outside the box,

currently exist in the organization and can be effectively connected with the recommended construct.

This construct is designed to be implemented in full. Each of the elements connects to and supports the other aspects to create a comprehensive, cohesive approach to total force management. ONR can, however, move incrementally toward the end state through a phased implementation of the key elements of the central construct. The immediate implementation of the Position Management Board provides a formalized focus on total force issues and designates a cadre of personnel to continue pressing forward with the implementation of the other elements. Identifying at least one billet to establish the Office of Manpower Management provides additional designated personnel to focus on the issue and achieves another quick win for ONR.

As demonstrated in the full report, the five key findings clearly address the total force manpower management needs of the organization. These needs have been expressed by the interview respondents in primarily tactical terms. Beneath these practical considerations, however, the ONR interviewees actually identified the necessary strategic elements of *any* total force management program: accountability, visibility, engagement, control and communication. These qualities represent the real benefit of implementation of the recommended construct in its entirety.

APPENDIX B: PREVIOUS CIVILIAN MANPOWER MANAGEMENT EFFORTS

Over the preceding decade, ONR has invested considerable energy in the proactive management of its civilian billets. The Command instituted several control structures over the years that the research team reviewed² to provide context for this study. Notably, the following three efforts were reviewed: 1) the Personnel Action Committee; 2) the Monthly Manpower Onboard Report; and 3) the Personnel Management Plan. Each of these control mechanisms provides insight into the evolution of manpower management within ONR.

Under the leadership of ONR's Executive Director in the late 1990s, ONR validated civilian workforce requirements through a Personnel Action Committee (PAC). Based on a review of meeting agendas and notes from 1996-1997, this group appears to have met monthly to review trends, discuss recruitment requests, and prioritize hiring actions for civilian vacancies. Considerable effort was placed on meeting ONR's end of fiscal year (EOFY) civilian target numbers. Composition of the PAC appears to have been cross-functional, with representation from the HRO, Financial Management, and leadership.

In the early 2000s, the PAC was no longer in effect and the Command's Technical Director (TD) made manpower decisions based on the Monthly Manpower Onboard Reports provided by a senior IPA member of management. Data for these reports was pulled from the ONR Workforce Management Information System (OWMIS) and reconciled with data from the Defense Civilian Personnel Data System (DCPDS). Monthly reporting included not only current onboard status, but also projected accessions and separations to provide an expected EOFY position. Under this construct, the TD authorized vacancies and balanced civilian personnel requirements across Departments.

² This data was collected anecdotally through informal conversations with ONR personnel, as well as through inference from meeting notes and letters of transmission. Historical information was considered for the development of context only.

By 2005, ONR had shifted to a Personnel Management Plan (PMP). The PMP is a control document developed by FM, HRO, and the Talent Manager and issued annually by the ONR Executive Director (ED). The document provides Department-level civilian personnel controls and temporary over hire authority. Departments have the latitude to execute their civilian resources within these targets, but are instructed to request permission to hire above these numbers. The PMP is still the governing civilian manpower document for the Command today.

The corollary to the PMP is the PMP Monthly Manpower Status Report. This report is created monthly by the Civilian Personnel Financial Management Analyst and distributed to ONR leadership, including the Executive Director, Assistant Chief of Naval Research (ACNR), Talent Manager, HRO, Comptroller, Director of Business Operations and the ONR Directorate. The function of the report is to provide a reconciled end-of-month on board number for civilians as well as to display expected accessions and separations for the duration of the fiscal year in support of a projected EOFY number.

The original development of the PMP was based on the on board numbers for each Department at the time. Adjustments to those levels have been made annually based on the specific movement of billets between Departments, required reductions, etc. As such, the baseline for the current plan, from which deviations were determined over the years, assumes that the number of civilians assigned to each Department at the time (~2005) was correct. This aspect of the PMP is a potential weakness of the document, as the baseline was not developed based on a functional or strategic assessment of where civilian billets should most effectively be allocated.

APPENDIX C: ADDITIONAL EFFICIENCY OPPORTUNITIES FROM ONR ZERO BASED REVIEW

The collective review of the C/E ZBR quantitative and qualitative data yielded the following recommendations for further study:

Recommendation 1 – Establish a Personnel Management Board

Establish a Personnel Management Board to monitor, track and control ONR's total workforce. All new hires (including all workforce member types) would need to be approved by the Board. Implementing this recommendation may also ease ONR's response to future workforce efficiencies.

Recommendation 2 – Simplify Program Review Processes

Evaluate the review processes for Discovery and Intervention (D&I), Innovative Naval Prototypes (INP), and Future Naval Capabilities (FNC) programs. These reviews are intensive and time-consuming, requiring full-time support throughout the review preparation and presentation process. Although the goal of the reviews is critical to ONR, it is recommended that each process be examined in detail to identify opportunities for streamlining or curtailing while maintaining the value of the reviews. For example, CNR reviews for FNCs could take two weeks of SES/CNR/ED time to review the transition status of all enabling capabilities (EC). ONR would conserve resources if it only reviewed those ECs in the red and yellow, and discontinue reviews of green ECs that are 100% on track for cost, schedule, performance and transition.

Recommendation 3 – Conduct a Review and Implement a Policy for Data Calls and Taskers

Implement a Command policy in which senior leadership looks at all labor-intensive external taskers and makes the determination if it will be accepted. Directors/Department Heads are the first line decision-makers for department-specific taskers, but Command-specific will be routed through the ACNR/ED for a decision. The Command needs to utilize SharePoint to implement a full taskers system to capture all internal, external, and official taskers. This system should be accessible by all, and managed by a new Executive Secretariat.

Recommendation 4 – Take Measures to Decrease Internal Acquisition Processing Times

Review the internal acquisition process to determine if there are opportunities to decrease contract processing time. There is a perception that the contracting process is slow, therefore departments send contracts to be processed externally, which incur additional fees. ONR may also benefit from looking at acquisition processes at similar organizations and leverage best practices.

Recommendation 5 – Examine S&T Contracting Outsourcing Trends

Identify the amount of funding and concurrent fees being awarded under non-ONR contracts. Further research will provide insight into the commitment trends over the past several years, which will help ONR ascertain if there are cost savings associated with addressing this issue. A standardized process and/or policy can be established in order to streamline and create transparency of contracts that are currently being sent out of ONR to be processed. Additionally, develop a common system and SOP for ONR to track, monitor and report externally-contracted funds.

Recommendation 6 – Standardize ONR Practices

Seek opportunities to leverage best practices within the organization to standardize functions across ONR. One of the self-imposed challenges that ONR faces as it strives to improve operational efficiency is the lack of a common language or cohesive culture. ONR components act as many independent organizations focused on different customers. It is evident that all of ONR's components share a pride in the mission and a dedication to providing leading science and technology to customers. ONR should leverage these common drivers and work together toward a more efficient organization – moving forward 'as one' versus 'as many.' This includes using a common language, such as that defined for Building Blocks, implementing standard approaches for common functions within the organizations (e.g. finance, reporting, administrative support), and nomenclatures for common roles (e.g. Program Officer and Program Manager) and activities.

Recommendation 7 – Transfer some ONRG Support Functions to HQ

Transfer ONRG support personnel performing HR, contracting, and finance functions from Tokyo and London to ONR HQ. This recommendation would save ONR significant overseas operational costs. Additionally, the cost of opening new offices would be offset by reductions in existing offices.

Recommendation 8 – Pilot a Program to Assign Contracts and Grants Officers (CGO) to S&T Departments

Conduct a pilot program that assigns CGOs to S&T departments. ONR has assigned Business Financial Managers (BFMs) to departments with the expectation that certain key financial execution functions will more closely align to the operations of executing units. Correspondingly, assigning CGOs to executing units may improve alignment between key contracts/grants functions and the operations of executing units. Weigh potential benefits and disadvantages of assigning CGOs to departments based on pilot results.

Recommendation 9 – Implement Travel Policies and Guidelines

Create travel guidelines to set limits on departmental resources used to support travel events, and require employees to process their own travel with assistance from a consolidated Travel Office (exception: Directors/Department Heads).

Implement a policy to reduce contractor travel by 10% to emulate the government travel reductions. The policy would apply to all future contracts. Additionally, develop a common system and SOP for ONR components to track, monitor, and report contractor travel.

Recommendation 10 – Share Costs of IPA Resources with Parent Organization

Modify the financial terms of all new IPA agreements to require the non-government organization to share the expenses. The main reason for entering IPA arrangements is to foster beneficiary relationships between a university or not-for-profit organization and a government agency. A government agency acquires a subject-matter expert from a university or not-for-profit for a finite period of time, and that expert then returns to the university or not-for-profit with the experience gained from working at the agency. Currently, ONR funds 100% of IPAs. ONR should consider requiring the IPA partner to share in the expenses, not to exceed 20%.

Recommendation 11 – Improve Budgeting Process for ONR Business Operations

Improve ONR's Business Operations budgeting process. There is no central budget for costs associated with running ONR. Instead, a parallel budget process has been established whereby requirements are generated and funding is subsequently identified via a tax across the S&T portfolio. The process works, but is cumbersome for all parties and makes it difficult to oversee, manage, and defend such costs. ONR has an opportunity to realign these costs into a centrally-funded line with significant reductions for all parties. Such an effort would require senior management to engage with a wide variety of outside organizations including Navy Comptroller, OSD Comptroller, ASN(RD&A), Congressional staff, etc.

Recommendation 12 – Align Program Element Structure with Execution Ownership

Consider department-centric program elements throughout the ONR S&T portfolio (implement to current FNC initiative for all portfolios); e.g. having an ONR 32 6.2 and 6.3 PE. Department-centric PE structures will streamline and simplify the financial management aspects of program execution and oversight.

Recommendation 13 – Examine ONR Organizational Structure

Consider alternative organizational structures that will minimize overhead structure and eliminate duplication and waste. Potential alternatives include fewer layers of management, flatter organization, and clear delineation of the chain of command, scope, responsibilities, and authorities for each organizational unit.

Recommendation 14 – Examine Civilian Workforce

Consider changing the nature of employment positions for ONR's civilian workforce. Civilians are routinely hired for long-term assignments, but with approximately 40% of ONR programs focusing on rapid transition, addressing near-to-mid-term technology solutions, consider hiring civilians for set terms. A number of Federal agencies, such as DARPA and NSF, operate successfully with a mix of permanent and termed appointments. ONR might benefit from this practice as well.

As civilian and contractor reductions continue to develop, and ONR also faces an aging workforce, initiate a workforce planning analysis to prepare for the future workforce environment (i.e. competency gap analysis, succession planning, knowledge transfer, candidate pool)

Recommendation 15 – Examine Outside Source Funding Programs

Review the current Business Plan policy governing outside source funds and develop an implementation/enforcement plan.

Recommendation 16 – Consider Creating an IDIQ Contract for Support Services

Explore the option of an indefinite delivery/indefinite quantity (IDIQ) contract for all mission support services. A single IDIQ will streamline the contracting process and potentially reduce costs by standardizing rates across the organization. An IDIQ contract will also increase visibility and control of the hiring process. Examples of services that could fall under the IDIQ include: IT technicians, financial analysts, and administrative support.

APPENDIX D: ACADEMIC LITERATURE REVIEW

The academic literature review creates an informed foundation for the study. The research team identified two previous courses in the EMBA program that addressed topics germane to the study: Organizations as Systems and Structures (GE3010) and Strategic Management (GE4016). The researchers reviewed textbooks from both of these courses for general information on pros and cons of various organizational structures, systems of communication, degrees of centralization, and methods for implementing organizational change. In the textbook Organizational Behavior, for example, the authors examine “ways to bring about meaningful change in organizations” (McShane & Von Glinow, 2009) and detail approaches for accomplishing that change.

Three approaches relevant to the design of this study include action research, appreciative inquiry, and parallel learning structures. “Action research is a data-based, problem-oriented process that diagnoses the need for change, introduces the intervention, and then evaluates and stabilizes the desired changes.” (McShane & Von Glinow, 2009) While this first method focuses on the existence of a problem and therefore the negative dynamics within the organization, appreciative inquiry offers a more positive approach. “Appreciative inquiry searches for organizational strengths and capabilities, then adapts or applies that knowledge for further success and well-being. It is especially useful when participants are aware of their ‘problems’ or already suffer from negativity in their relationships.” (McShane & Von Glinow, 2009) The third approach to organizational change is a parallel learning structure. These structures are “highly participative arrangements, composed of people from most levels of the organization who follow the action research model to produce meaningful organizational change.” (McShane & Von Glinow, 2009) While these textbooks did not contribute directly to the study outcomes, this information influenced the design of the study, which is a blending of all three approaches.

The research team also reviewed a Corporate Executive Board article that discusses analysis conducted by the Board's Corporate Leadership Council (CLC) on the organizational redesign initiatives of hundreds of organizations worldwide. One of the CLC's key takeaways from the study is illustrated below:

Two areas which can significantly impact the overall success of a company's redesign efforts are: defining workflows and monitoring the success of organizational design. Workflows include the requisite tasks, functions, and people for each step of a particular process. Innovative companies are interviewing key stakeholders post-reorganization to gauge the ability of teams to effectively perform their work in the new structure. By surveying employees on such matters as role clarity, decision-making authority and collaboration, companies have a more holistic view into whether the right work is being done by the right people in the right way after the reorganization. CLC analysis has shown that companies that effectively define workflows and monitor success are 20% more likely to achieve their employee performance objectives in the first 12-24 months after a redesign. (The Staff at the Corporate Executive Board, 2010)

The findings from this CLC study highlight the importance of continuous evaluation of progress and "monitoring success" after the implementation of organizational change. Rather than influencing the recommendations, this citation provides an important suggestion for ONR as it considers implementation of the recommendations at the conclusion of this study.

While academic literature specifically regarding total force manpower management is scarce, the research team reviewed a two-volume set of articles relating to manpower management. Both volumes of Strategic Public Personnel Administration: Building and Managing Human Capital for the 21st Century contain articles that provide insight into the roles that a Human Resources department and its functions should play within the strategic planning process. (Farazmand, 2007) However, the singular focus of these volumes is on the civil service. They contain nothing pertaining to manpower management through the

lens of total force, and therefore, they contributed little to the study or its outcomes.

APPENDIX E: ONR MANPOWER MANAGEMENT INTERVIEW (INTERNAL)

At the request of the Talent Manager and in conjunction with the Naval Postgraduate School EMBA program, we are conducting a study on total force manpower management at ONR. Given the current resource-restricted environment (particularly with the OSD-directed reduction of Navy civilian billets, the ongoing SECDEF efficiency initiatives to reduce contractor support, and concurrent, often conflicting, requirements for in-sourcing of the acquisition workforce), ONR has identified the need for a more effective means of managing manpower within the Command. This project will analyze existing ONR total force manpower functions, methodologies and instructions in order to provide objective recommendations for alternative methods of strategic manpower management.

The primary source of internal data for this study is information obtained from interviews with ONR personnel who are connected with manpower functions. The purpose of these interviews is to identify both the current methods of manpower management within the Command and to gather data on perceptions about opportunities to manage total force manpower more strategically. Your answers today will provide us with valuable insight into the nature of the problem that prompted this study.

Today's interview will cover questions about processes, procedures and organizational structure. This interview is non-attributional – your responses will not be individually identifiable in the study by name or by title, explicitly or implicitly. The data you provide us will be combined with all other respondents for the purposes of determining the as-is state and to inform the development of alternative recommendations.

For the purposes of this study, “manpower management” refers to a system of control mechanisms that facilitate the most efficient and economical use of all personnel resources – including civilian, military, contractor, detailee, intern and IPA employees.

Primary Question	Secondary Question
1. How is total force manpower currently being managed at ONR?	A. Who is responsible for managing total force manpower at ONR?
	B. Who is responsible for providing strategic direction for the most efficient use of ONR's total force manpower?
	C. For which manpower management functions is your office responsible at ONR?
2. How effectively is manpower currently being managed across ONR?	A. Please provide some examples of areas in which manpower is being managed effectively at ONR.
	B. Please provide some examples of manpower management areas that need

	improvement at ONR.
3. How could ONR more effectively manage its total force?	A. If you could build a manpower management function for ONR from the ground up, what would it look like?
	B. Do you perceive a gap between the current state of ONR manpower management and the “ideal” state you just described? If so, how would you describe that gap? (e.g. What needs exist between the as-is and the more desirable state?)

In addition to these internal interviews, we will be reaching out into the Navy/DoD community to request information on methods of manpower management at other Commands. This data is intended to be collected via survey (with follow-up phone calls as necessary for clarification). If you are aware of another Navy/DoD activity with a particularly effective total force manpower management system, we would appreciate the opportunity to include them in the external data collection effort. Please provide the following information:

POC Name: _____ Phone: _____

Email: _____

APPENDIX F: ONR MANPOWER MANAGEMENT STUDY EXTERNAL DATA SURVEY

At the request of the Office of Naval Research Talent Manager and in conjunction with the Naval Postgraduate School EMBA program, we are conducting a study on total force manpower management at ONR. Given the current resource-restricted environment (particularly with the OSD-directed reduction of Navy civilian billets, the ongoing SECDEF efficiency initiatives to reduce contractor support, and concurrent, often conflicting, requirements for in-sourcing of the acquisition workforce), ONR has identified the need for a more effective means of managing manpower within the Command. This project will analyze existing ONR total force manpower functions, methodologies and instructions in order to provide objective recommendations for alternative methods of strategic manpower management.

This study will consider academic literature on manpower management as well as both internal and external data. The primary source of external data for this study is information obtained from manpower points of contact at other Navy/DoD Commands. The purpose of this external analysis is to provide a frame of reference for the analysis of our internal data. By comparing your responses with those of others, we hope to begin to identify commonalities and best practices in the Navy/DoD manpower management community. Your answers will provide us with valuable insight into the ways in which your Command has addressed the issues that ONR is facing.

This survey will cover questions about processes, procedures and organizational structure. This survey is non-attributional – your responses will not be individually identifiable in the study by name or by title, explicitly or implicitly. The data you provide us will be combined with all other respondents for the purposes of determining best practices and to inform the development of alternative recommendations.

For the purposes of this study, “manpower management” refers to a system of control mechanisms that facilitate the most efficient and economical use of all personnel resources – including civilian, military, contractor, detailee, intern and IPA employees.

Please answer the questions on the following page to the best of your ability. You may use the shaded-in boxes for your response area (they should expand as necessary to capture your comments). Thank you so much for your assistance with this important project!

Which office in your organization is responsible for management of the following manpower-related activities?	
Intelligent Workbook	
Issuance of civilian manpower controls	
Issuance of contractor/detailee/intern/etc. manpower controls	
Response to manpower-related data calls	
Coordination with FMB on manpower resource targets (e.g. reclamation for proposed reductions to civilian billets)	
How is your HR office structured (# of people, primary responsibilities, etc.)?	
Which office or person (by title) in your command has primary responsibility for making <i>strategic</i> decisions about total force manpower issues?	
To what level does your Command issue total force manpower controls/targets? (e.g. department level, directorate level, etc.)	
How are total force manpower controls and strategic direction communicated to the Command?	
Which aspects of your total-force manpower construct are operating most effectively?	
Which aspects of your total-force manpower construct are operating least effectively? Why?	

Please email this completed form to laura.nicholson@navy.mil at your earliest convenience, but no later than _____. Thank you again for your willingness to participate in this study. If you have questions or need clarification, please contact:

Laura Nicholson 703-696-7743

Mary Beth Foley 703-693-8212

APPENDIX G: HR SERVICE DELIVERY MODEL

OCHR FACTSHEET

Department of the Navy
Human Resources Service Delivery
Issued: August 2011

SERVICE DELIVERY

This Fact Sheet:

- Defines HR service delivery
- Describes the new strategic approach to HR service delivery
- Highlights the commitment of the DON to its partners, customers and civilian workforce
- Provides information on the work of the Service Delivery Core Team and Working Groups

Background

Human resources (HR) service delivery refers to the organizations, processes and systems used to deliver HR products, such as hiring, benefits and equal employment opportunity (EEO). In the Department of the Navy (DON), there is no standard HR service delivery model. In May 2011, the Under Secretary of the Navy asked the Assistant Secretary of the Navy for Manpower and Reserve Affairs (ASN(M&RA)) to create a plan within 120 days to make HR service delivery more streamlined and customer focused. The new HR service delivery model is based on years of DON HR service delivery studies and knowledge and experience of senior HR professionals.

The new DON approach is aligned, accountable and agile. By moving Human Resource Offices (HROs) to the Commands and realigning Human Resources Service Centers (HRSCs) by Command, accountability is improved through common policies, processes and systems governed by ASN (M&RA). These changes will result in the agile delivery of HR services and functions that optimize resources and enable Commands to respond quickly to changing requirements.

People First



Realignment of assets and resources will be one of the most complex parts of service delivery because it involves our people. Taking care of the HR community is one of the core tenets of the Service Delivery Core Implementation Team, and an orderly and transparent process will be used to determine realignments. The team is working continuously with the HR community to hear their concerns, gain their input and update them on progress made.

The new approach will strengthen the HR community by positioning HR professionals as strategic partners and advisors to Command and senior leaders, closely aligned to culture and mission. Additionally, the new model ensures clear lines of technical authority, training, career paths and certification for the HR community through the ASN (M&RA).

Core Implementation Team

The DON is committed to a transparent and collaborative approach in developing the service delivery implementation plan. The Core Implementation Team is meeting with HR and Command leaders across the DON to validate information, data and resources for developing the plan going forward. This team will manage development and execution of the Service Delivery implementation plan, as well as integrate all aspects of communication and change management.

The Core Implementation Team must complete their recommendations by late September 2011, after which they will brief the plan to the DON Assistant for Administration; Director, Navy Staff; Director, Marine Corps Staff and other DON senior leaders.



Command Involvement

The DON's new approach to service delivery will enable Commands to tailor human capital decisions and resources according to mission requirements and provide a strategic approach to the execution of HR decisions. Therefore, collaboration with the Commands is an essential element of the implementation planning process. The Core Team is conducting individual visits with each Major Command. Meetings began in June and will end Labor Day week. These discussions provide the team an in-depth look at the HR culture and nuances of each Command, as well as provides the opportunity to receive recommendations and insight from Command leadership. The information from these meetings is shared with the Service Delivery working groups — an important feature that strengthens recommendations and ultimately the success of service delivery implementation.

Additionally, the Core Team conducts bi-weekly on-line meetings for HR leaders. These sessions provide the HR community with regular updates on the status of the implementation and allow HR leaders to engage with the team during question and answer (Q&A) sessions. These Q&As are then compiled and distributed to DON HR leaders and will be available on the DON HR internal portal. In addition, the DON HR FAQ email center at DONhrfaq@navy.mil is open at any time for questions.

Working Groups

Three working groups, one for each major component of the new approach, are developing recommendations for implementation on HRO alignment, HRSC alignment and HR systems and governance. The members of the working groups represent a variety of Major Commands and a cross-section of the HR community. The groups share information, develop recommendations and provide input for the development of the implementation plan. The leads of each working group are also members of the Core Team, ensuring communication, collaboration and transparency between the groups.

Service Delivery Working Group Command and HR Community Representation

HRO Working Group:

Kay Marti (lead, CNIC)

HRO Mid-Atlantic, OCHR, CNIC, SPECWAR, PACFLT, HRO SE, FFC, NAVFAC, NAVAIR

HRSC Working Group:

Tim Newman (lead, OCHR)

HRSC-SW, FFC, OCHR, NAVSEA, HRSC-NE, HRSC-NW, NCIS, NAVSUP, BUMED, USMC, HRSC-E

Governance & Systems Working Group:

Diane Bergeron (lead, OCHR)

OCHR, HRSC-SE, USMC, NAVAIR, HRO SW, PACFLT, SPAWAR, NAVSEA, HRSC-NE

Still Need Assistance?

For additional questions on service delivery, email the DON HR FAQ resource at DONhrfaq@navy.mil.



APPENDIX H: OFFICE OF MANPOWER MANAGEMENT DETAIL

The structural aspect of the Total Force Construct is implementation of the Office of Manpower Management. This office is chartered as the single point of accountability for total force manpower management in ONR. The success of this office centers in large part around the skills and abilities of the staff. These three positions work closely together to develop, promulgate, and maintain the total force vision across the Command. Identification of the right personnel with the right skill sets is critical to the success of this element.

Staffing and Sample Qualifications:

- Director -- Supervisory Senior Pay Band IV (GS-15 equiv) with expertise in leadership, finance, and/or manpower. Programming and/or N1 background a plus. Candidate must be able to demonstrate the ability to clearly, effectively, and proactively communicate up and down the chain of command. Candidate must also demonstrate exceptional leadership skills and the ability to effectively connect multiple perspectives in order to unify ONR's total force efforts.
- Staff Analyst -- Pay Band IV/V (GS-13/14 equiv) -- Responsible for initiating staff work on data calls and providing support to the OMM Director. Must be able to maintain continuity of operations in the Director's absence. Candidate should have a background in resource management and/or manpower, with exceptional analytical and communication skills. Candidate must also demonstrate the ability to write clearly, effectively, and persuasively.
- Data Analyst -- Pay Band IV (GS-13 equiv) -- Responsible for data analysis/database management. Must possess strong technical skills, exceptional attention to detail, and ability to communicate

effectively with all levels of management. Due to the large volume of data to be reconciled, the successful candidate must demonstrate previous experience with database/spreadsheet management and the ability to explain detailed information in a way that can be easily understood.

Reporting Hierarchy:

- Direct report to Talent Manager.
- All three positions are members of the Position Management Board

Functions:

- Serves as liaison/point-of-integration for all total force manpower entities in the organization (HRO, finance, PMB, leadership, etc.)
- Responsible for PMP development/coordination
- Initiates strategic planning coordination
- Reconciles the Position Management Database monthly with the systems of record/coordinating databases (IW, NERP, DCPDS, TFMMS)
- Coordinates the development of Command-wide strategic manpower plan
- Coordinates and responds to manpower-related data calls
- Representation of ONR at external manpower-related meetings
- Prepares an annual "Report Card" on total force management
 - This report card indicates, by Department, how the Command has executed against its total force PMP.
 - Report card is delivered to the Position Management Board to inform future decisions and to the Talent Management Board to inform potential policy needs.

- Works closely with finance to develop and submit reclama justifications for civilian personnel and contractor reductions imposed on the organization
- Develops total force manpower related guidance and instructions for ONR
- Works with Talent Manager to integrate succession planning into the Position Management Database for future years
- Works with HRO to ensure that future years PMD appropriately maximizes the use of civilian hiring authorities available to managers under ONR's Lab Demonstration personnel system
- Assists Departments with determination of appropriate workforce member type for functional needs
 - Assists Department with clarification of term of employment, type of workforce member, key competencies, etc.
 - Serves as liaison to Position Management Board to further explain and clarify Departmental requests

APPENDIX I: POSITION MANAGEMENT DATABASE DETAIL

The system aspect of the Total Force Construct is the implementation of a Position Management Database (PMD). In order for leadership to make effective decisions on the composition of the ONR workforce, it must have visibility into the functions currently being performed across the organization. This functional view, first established during the FY 2011 ZBR, must be maintained and reconciled with the existing systems of record. Further, the database must provide ONR with the ability to create a future years plan for each billet.

A future evolution of the database includes the ability to view the workforce not only by workforce member type (civilian, detailee, contractor, etc.) and job function (financial management analyst, staffing specialist, mathematician, etc.) but also by competency. As the ONR workforce continues to age, the threat of losing key competencies in the organization increases dramatically. Other Commands have utilized a workforce data tool to track competencies associated with function to determine future organizational needs and to guide recruitment decisions. The PMD could be implemented and or further developed to provide ONR with a similar capability.

Description: This database will contain a functional description of all billets (total force) in the organization. Examples of coding for each billet include the following:

- Billet Identification Number (link to TFMMS, DCPDS, and Intelligent Workbook)
- Workforce Member Type (civilian, military, contractor, etc.)
- Employment Type (FTP, Temp, Term, etc.)
- Department affiliation
- Functional descriptor of position
- Pay Band/Experience Level
- Supervisory/Non-Supervisory

- Incumbent (name)
- Multi-year Plan for Billet
- Key competencies associated with work
- Intelligent Workbook taxonomies
- Homeport or contract information (for detailees and contractors, respectively)

Flexibility: Because this database will be used not only for capturing the current billet structure and on-board status, but also for planning purposes, the database needs to have a degree of flexibility to enable it to serve both functions. For example, the “multi-year plan for billet” should allow the organization to identify the end-date for a term employee and the plan for the billet after that date has passed (e.g. is the billet re-filled, terminated, moved to another Department, etc.).

Reconciliation: This database must be reconciled monthly to ensure balance with systems of record and other relevant existing databases, including – DCPDS, TFMMS, ERP, IW. Also, the system must maintain balance with FMB-issued civilian targets (coordinate with finance). Because of the constant reconciliation, the PMD should serve to point out discrepancies between the systems of record. The OMM Database Manager must work closely with HR to initiate timely corrections to discrepancies between Systems of Record and PMD.

Reporting: At minimum, the system should be capable of supporting the production of a monthly on-board status against issued total force controls. If web-enabled, this report could replace the current Business Intelligence tool currently in use for reporting total force on board status from NAVRIS data.

Sample System Requirements: Ideally the PMD would interface with NERP to semi-automate updates and reconciliation. The system needs the

flexibility to allow users to create/produce recurring and ad-hoc reports. The system should have the capacity to add additional descriptors as requirements change.

Notes:

- Existing offices will still have responsibility for systems of record (HR) and coordination with FMB. Management of this database should support these functions to the maximum extent possible and should not represent duplicative work to the functions the primary offices are performing.
- The research team met with members of the Command Business Office to inquire whether or not NERP has the flexibility to support these requirements. At this time, based on the planned implementation of NERP, it does not appear that it will support the degree of functionality required for the PMD.

APPENDIX J: “POM FOR PEOPLE” PROCESS

The following documentation, originally drafted in 2007 at the request of the then-ACNR, outlines a process for aligning the issuance of the annual Personnel Management Plan with ONR’s investment strategy. While the organization has not implemented this proposed process, the existence of this document lends further credence to the emphasis that leadership has placed on the desire for more strategic manpower management over the years. The research team has not edited the plan for issuance with this report, so some references are outdated (e.g. the Program Review cycle no longer exists). Rather, the document is provided to suggest a further degree of alignment to which ONR can aspire as it moves toward strategic manpower management implementation.

POM for People Process

To meet its mission in an environment where the demand for resources exceeds availability, ONR must ensure that its investments remain aligned with its strategic direction...and that its people are poised to adapt quickly to changes in mission and technology. In short, the alignment of people with the strategic mission of the Command is a critical element of ONR’s continued success.

In order to capture the personnel impacts of programmatic decisions, a multi-year Personnel Management Plan (PMP) will be issued annually to capture the execution year targets, Program Review (PR) year planned targets, and Program Objective Memorandum (POM) year planned targets. The PMP will be developed annually during the POM/PR Review process and published after management decisions on POM/PR issues are finalized. Combining the POM/PR process with the issuance of the PMP will further support annual inputs into the N1 Intelligent Workbook, which is scheduled to occur yearly around the same time as the POM process.

Though this outline and examples discuss the issuance of Departmental civilian targets, the same process is applicable to other employment types (contractors, detailees, IPAs, etc.) as well, thus fully supporting ONR’s Total Force Management initiative.

Phase 1: POM Process (execution year + 2)

During the POM requirements review, Department Heads will identify personnel requirements by program and identify the impact of programmatic/investment strategy decisions (i.e. decision to fund Program A would require an increase of X number of FTE). As programmatic decisions are made, shifts in personnel requirements will be captured for inclusion in the PMP allocations and update for the Intelligent Workbook.

Assuming that in order to increase an investment in one programmatic area, another would have to be decreased as an offset, the staffing would follow the funding. These shifts in strategic direction (i.e. not new work) will require corresponding net-zero personnel changes within the current approved Command targets. The end result of the POM process will include programmed personnel shifts that will need to occur two years out.

Example: In support of a revised investment plan during the POM year, management approves increases to programs in Codes 30 and 35, with offsetting reductions from Code 33.

Code	POM-10 (Program)*
30	Add 2 people (+2)
33	Reduce 4 people (-4)
35	Add 2 people (+2)

*End result of realignments is net zero.

Phase 2: PR Year (execution +1)

The PR-year PMP provides the interim step between the current state and the POM year. Adjustments to be completed in the POM year would begin to be reflected here through phased controls based on executable changes in personnel. Departments targeted for offsetting reductions should use naturally occurring attrition and VSIP authority to reach required targets while making internal adjustments to operate functionally within the new staffing levels. Departments targeted for increased staffing should begin recruitment planning and initiate lead-time recruitment actions to ensure proper staffing levels for the increased program.

PR-year controls must be issued as net-zero realignments that support movement toward the POM-year end state.

Example: In preparation for execution of the revised investment plan during the POM year, management approves half of the programmed personnel increases to Codes 30 and 35 in the PR year, with offsetting reductions from Code 33

Code	PR-09 (Interim)*	POM-10 (Program)*
30	+1	+2
33	-2	-4
35	+1	+2

*End result of realignment is net zero.

Phase 3: POM-year Execution/Planning for Next POM

The final POM-year PMP would reflect decisions made during the POM process plus any additional adjustments made between the initial POM decision and execution.

Example: Just before the beginning of the execution year, the Command is directed to execute a reduction to the POM-program of 1 ES/FTE. Management decides to execute this reduction by fully staffing the POM-program in Code 30, partially staffing the POM-program in Code 35, and taking the full POM-offset from Code 33.

Code	PR-09 (Interim)	POM-10 (Program)	POM-10 (Execution)*
30	+1	+2	+2
33	-2	-4	-4
35	+1	+2	+1

*End result of realignment is -1 to cover reduction to overall Command target.

Meanwhile, the Phase 1 process for the next POM begins again and the process repeats.

PMP Release Process

Working in conjunction with the Talent Manager, ONR 08 and the HR manpower staff, management would decide and release POM-Program and PR-Interim PMP decision/controls in conjunction with Command-wide investment decisions/strategic direction. Accordingly, the PMP would be issued on a 3 year/2 year cycle in accordance with the POM/PR cycle.

Issuance of a multi-year PMP allows Department Heads to make proactive staffing decisions well in advance of the need to execute to targets. The multi-year PMP also prevents underexecution of personnel that can result from “sudden” shifts in personnel targets. Finally, the multi-year PMP allows advance planning for Intelligent Workbook inputs, as the plan will create a road map for the alignment of personnel with the programs they are supporting.

Example of Multi-Year PMP Release:

Phase 1: In support of a revised investment plan during the POM year, management approves increases to programs in Codes 30 and 35, with offsetting reductions from Code 33. The PMP is issued to include the current execution year, interim changes in the PR year, with the final POM-supporting targets reached in the POM year.

Multi-Year PMP Targets By Department

Code	FY10 PMP (execution)	FY11 PMP (PR year)	FY12 PMP (POM Program)
30	5	6	7
33	41	39	37
35	15	16	17

PMP Deltas By Department

Code	FY10 PMP (execution)	FY11 PMP (PR year)	FY12 PMP (POM Program)
30	Base	+1	+2
33	Base	-2	-4
35	Base	+1	+2

Phase 2: For issuance of the PR-year PMP, management upholds the POM decision to execute half of the programmed personnel increases to Codes 30 and 35 in the PR year, with offsetting reductions from Code 33. The POM-year program targets remain unchanged.

Multi-Year PMP Targets By Department

Code	FY11 PMP (Execution)	FY12 PMP (POM Program)
30	6	7
33	39	37
35	16	17

PMP Deltas By Department

Code	FY11 PMP (PR year)	FY12 PMP (POM Program)
30	Base	+1
33	Base	-2
35	Base	+1

Phase 3: Just before the beginning of the execution year, the Command is directed to execute a reduction to the POM-program of 1 ES/FTE. Management decides to execute

this reduction by fully staffing the POM-program in Code 30, partially staffing the POM-program in Code 35, and taking the full POM-offset from Code 33.

Additionally, the next POM review is completed and management decides to increase the investment (and associated +1 personnel impact) in a program in Code 35 with an offset from Code 30. This personnel offset will occur two years out with no interim step, but both Departments are on notice of the planned change so that they can develop a plan to fully execute their programs under the revised targets.

Multi-Year PMP Targets By Department

Code	FY12 PMP (Execution)*	FY13 PMP (PR year)	FY14 PMP (POM Program)
30	7	7	6
33	37	37	37
35	16	16	18

*Note that PMP for Code 35 is -1 from original POM-plan to cover reduction to overall Command target.

PMP Deltas By Department

Code	FY12 PMP (execution)	FY11 PMP (PR year)	FY12 PMP (POM Program)
30	Base	0	-1
33	Base	0	0
35	Base	0	+1

APPENDIX K: POSITION MANAGEMENT BOARD DETAILS

The process aspect of the Total Force Construct is the implementation of a Position Management Board (PMB). The mission of the Position Management Board is to monitor, track and control ONR's total workforce, however, the purpose that the group serves is much broader. The PMB provides an open forum for all organizational entities with a stake in Command-level total force manpower (HRO, FM, Talent Manager, OMM, leadership). By meeting regularly, these entities can share information and make informed decisions on critical total force matters. Further, this group provides Department Heads (and others with a more parochial manpower view) with a formalized means by which to request changes to workforce composition and size. This element of the total force construct is key to creating more cohesive alignment of purpose for total force decisions across the Command.

The following positions are recommended for inclusion on the Position Management Board:

- Executive Director (chair)
- Talent Manager (vice-chair)
- Assistant Chief of Naval Research
- Director, Office of Manpower Management
- Director, Human Resources Office
- Director, Financial Management
- Head, Corporate Operations Financial Management Branch
- Civilian Personnel Financial Management Analyst
- Military Manpower Analyst
- Human Resources Staffing Specialist (Lead)
- Office of Manpower Management Database Manager
- Office of Manpower Management Staff Analyst

In the event of the Chair's absence from the convened Board, all Board measures must still be considered and decided upon by the Chair.

The functions that the PMB assumes will be driven, in part by the members of the Board once they are assembled. Based on the design of the Total Force Manpower Construct, however, the following key functions of the PMB are recommended for consideration:

- Review and approve annual issuance of Personnel Management Plan
- Review and approve/disapprove requests for billet reallocation/movement
- Review and approve/disapprove strategic recommendations of Office of Manpower Management
- Review and approve/disapprove requests for overhire authority
- Enforcement of PMP through approval/disapproval authority of hiring decisions.
- Review and recommend manpower mix parameters
- Review and recommend guidance

The PMB operates within the Total Force Manpower Management construct. As such, it receives inputs from the other interrelated elements. These inputs include, but are not limited to, the following:

- Policy inputs from Talent Management Board
- Data support from Position Management Database
- Strategic input from Leadership either directly or as recommended by the Office of Manpower Management
- Financial and/or resource constraint information from Financial Management
- HR strategy and hiring flexibility information from HRO

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